



PATENT
Docket No. RSW9-2000-0107-US1

10-11-00

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

INVENTOR(S): James R. Kraemer

APPLICATION NO. Not Yet Assigned

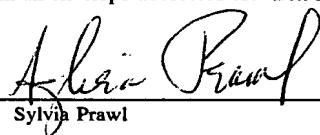
FILED: Herewith

TITLE: **SYSTEM AND METHOD FOR AUTOMATICALLY REBALANCING PORTFOLIOS BY SINGLE RESPONSE**

JCS2 U.S. PTO
09/685398
10/10/00

CERTIFICATE OF EXPRESS MAILING

I hereby certify that this correspondence, along with any papers indicated as being enclosed, are being deposited as Express Mail, (Label No. EL598705235US), postage prepaid, in an envelope addressed to: Box Patent Application, Commissioner for Patents, Washington, D.C. 20231, on October 10, 2000.



Sylvia Prawl

**BOX PATENT APPLICATION
Commissioner for Patents
Washington, DC 20231**

NEW APPLICATION TRANSMITTAL LETTER

Sir:

Enclosed are the following papers relating to the above-named new application for patent:

1. Specification (17 pgs.), claims (4 pgs.) and abstract (1 pg.);
2. Drawings (3 sheets) informal;
3. Declaration and Power of Attorney (executed); and
4. Assignment Recordation Form Cover Sheet (in duplicate) and executed Assignment.



CLAIMS AS FILED				
	No. Filed	No. Extra	Rate	Calculations
Total Claims	31- 20 =	11	\$18	\$198.00
Independent Claims	3 - 3 =	0	\$80	\$0.00
Multiple Dependent Claim(s), if applicable			\$260 =	\$0
Basic Filing Fee				\$710.00
			Total Fee:	\$908.00

Please file the application and charge **International Business Machines (IBM)** Account No. **50-0629** the amount of **\$948.00** to cover the filing (\$908.00) and Assignment recordal (\$40.00) fees. Two copies of this letter are enclosed. In the event of non-payment or improper payment of a required fee, the Commissioner is authorized to charge or to credit Deposit Account No. **50-0629** as required to correct the error.

Please address all correspondence to:

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Telephone calls should be directed to the undersigned at (215) 923-4466.

Respectfully submitted,

Date

10/10/2000

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